

01-0702

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PTO/SB/05 (11-00)

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 728-221 (YOR9-2001-0603 US1)
 First Inventor LOUIS L. HSU
 Title HYBRID SUBSTRATE AND METHOD FOR
 Express Mail Label No. EL 913582613 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 10]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
5. Oath or Declaration [Total Pages 6]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [Power of Attorney] (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Associate Power of Attorney

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name

Paul J. Farrell, Esq.

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Name (Print/Type)

Paul J. Farrell, Esq.

Registration No. (Attorney/Agent)

33,494

Signature

Date

1/3/02

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 913582613 US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: 1/3/02

George Likourezos

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 780.00)

Complete if Known

Application Number	
Filing Date	January 3, 2002
First Named Inventor	LOUIS L. HSU
Examiner Name	
Group Art Unit	
Attorney Docket No.	728-221 (YOR9-2001-0603 US1)

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 50-0510/IBM (Yorktown Heights)
- Deposit Account Name: IBM (Yorktown Heights)
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	\$740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$ 740.00)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
18	-20** = 0	\$18	\$0
2	-3** = 0	\$84	\$0
Multiple Dependent		\$280	\$0

**or number previously paid, if greater, For Reissues, see below

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0.00)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

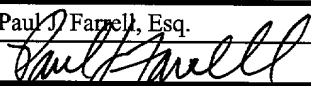
Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	\$40
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY

Name (Print/Type)	Paul J. Farrell, Esq.	Registration No. (Attorney/Agent)	33,494	Telephone	(516) 228-8484
Signature		Date	1/3/02		

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)

I hereby certify that this correspondence and the documents referred to as enclosed herein are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label No. EL 913582613 US addressed to Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: 1/3/02

George Likourezos

PATENT

Atty. Docket No. 728-221 (YOR9-2001-0603 US1)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION

Assistant Commissioner for Patents
Washington, D.C. 20231

UTILITY APPLICATION DATA SHEET UNDER 37 C.F.R. § 1.76

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): LOUIS L. HSU and LI-KONG WANG

For: HYBRID SUBSTRATE AND METHOD FOR FABRICATING
THE SAME

Enclosed are:

- [X] 10 page(s) of specification
(including **claims** and **abstract**)
- [X] 2 sheets of drawings [X] formal [] informal
- [X] 6 page(s) of Declaration and Power of Attorney
- [X] 4 page(s) An Assignment of the invention
(including **Recordation Form Cover Sheet**)
- [X] 1 page(s) Associate Power of Attorney

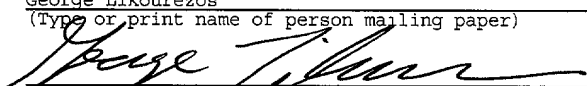
Assignee Name: INTERNATIONAL BUSINESS MACHINES CORPORATION

Assignee Residence: Armonk, New York

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date January 3, 2002 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 913582613 US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

George Likourezos
(Type or print name of person mailing paper)


(Signature of person mailing paper)

[] This application claims the benefit under 35 U.S.C. §119(e) of U.S. Provisional Application(s) No(s)..
APPLICATION NO(S) : FILING DATE
_____/_____
_____/_____

[] Certified copy of applications

<u>Country</u>	<u>Appln. No.</u>	<u>Filed</u>
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from which priority under Title 35 United States Code, § 119 is claimed

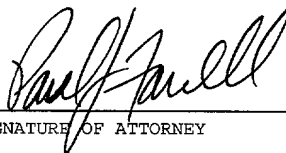
[] is enclosed.

[] will follow.

[X] Address all future correspondence to:

Paul J. Farrell, Esq.
DILWORTH & BARRESE LLP
333 Earle Ovington Boulevard
Uniondale, New York 11553
(516) 228-8484

Date: January 3, 2002



SIGNATURE OF ATTORNEY

Paul J. Farrell

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Washington, D.C. 20231
Sir:Date: January 3, 2002
Express Mail Label: EL 913582613 US
Date of Deposit: January 3, 2002

Transmitted herewith for filing is the Patent Application of:

Inventors: LOUIS L. HSU and LI-KONG WANGFor: HYBRID SUBSTRATE AND METHOD FOR FABRICATING THE SAMEEnclosed are: ☒ 6 sheets of specification; ☒ 1 sheet(s) of Abstract;
☒ 3 sheet(s) of claims; ☒ 2 sheet(s) of drawing(s);☒ An assignment of the invention to International Business Machines Corporation with Recordation Form.☒ Declaration and Power of Attorney.☐ A certified copy of a _____ application, from which priority under Title 35 USC §119 is claimed.☒ Associate Power of Attorney.

The filing fee has been calculated as shown below:

	(Col. 1)	(Col. 2)	OTHER THAN A SMALL ENTITY	
FOR:	NO. FILED	NO. EXTRA	RATE	FEE
BASIC FEE				\$ 740.00
TOTAL CLAIMS	18 - 20 =	0	X \$18 =	00.00
INDEP CLAIMS	2 - 3 =	0	X \$84 =	00.00
MULTIPLE DEPENDENT CLAIMS PRESENTED			+ 280 =	
If the difference in Col. 1 is less than zero, enter "0" in Col. 2.			TOTAL	\$ 740.00

☐ A check in the amount of \$ _____ to cover the ☐ filing fee(s) and a check to cover the ☐ recording fee are enclosed.☒ Please charge my Deposit Account No. 50-0510 in the amount of \$780.00.☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.☒ Any additional filing fees required under 37 CFR 1.16.☒ Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

By:

Paul J. Farrell
Paul J. Farrell, Esq.
Registration No. 40,067**Please address all
correspondence to:**DILWORTH & BARRESE, LLP
333 Earle Ovington Boulevard
Uniondale, NY 11553
Tel: (516) 228-8484
Fax: (516) 228-8516Attorney for:
IBM Corporation
Intellectual Property Law Dept.
P.O. Box 218
Yorktown Heights, NY 10598**CERTIFICATION UNDER 37 C.F.R. § 1.10**I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date January 3, 2002 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 913582613 US addressed to: BOX PATENT APPLICATION, Assistant Commissioner for Patents, Box
PATENT APPLICATION, Washington, D.C. 20231.George Likourezos
George Likourezos